
REGIONAL CENTER FOR SOUTHERN AFRICA (RCSA)

ANNUAL REPORT

FY 2002



**Regional Integration Through
Partnership and Participation**

MARCH 4, 2002

The attached results information is from the FY 2002 Annual Report for the Regional Center for Southern Africa and was assembled and analyzed by the Regional Center for Southern Africa and Aurora Associates.

The Annual Report is a "pre-decisional" USAID document and does not reflect results of USAID budgetary reviews. Additional information on the attached can be obtained from Carrie Johnson AFR/DP/PAB.

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GLOSSARY

AGOA	Africa Growth and Opportunity Act
AWF	African Wildlife Foundation
EU	European Union
FANR	Directorate of Food, Agriculture and Natural Resources (SADC)
FTA	Free Trade Area
GIS	Geographic Information System
IPR	Intellectual Property Rights
ITL	International Timbers Limited
MISA	Media Institute for Southern Africa
RCSA	Regional Center for Southern Africa
SADC	Southern African Development Community
SADC/PF	Southern African Development Community Parliamentary Forum
SAEDF	Southern Africa Enterprise Development Fund
SAHRIT	Southern African Human Rights Trust
SARRNET	Southern Africa Root Crops Research Network
SO	Strategic Objective
SpO	Special Objective
SMIP	Sorghum and Millet improvement Project
STEM	Short-term Electricity Market
TRIPS	Trade-related Aspects of Intellectual Property Rights
WIPO	World Intellectual Property Rights Organization

PART III: PERFORMANCE NARRATIVES

CHALLENGES

The Regional Center for Southern Africa (RCSA) faces a number of strategic challenges in implementing the Initiative for Southern Africa. In the area of democracy and governance (SO-690-01), the two main challenges are to garner support from Heads of State and parliaments to employ regional norms and standards for democratic practices and transparent governance, and to preserve press freedom and media pluralism. For the regional market integration strategic objective (SO-690-02), the most formidable challenges have proven to be overcoming protectionist trade policies and uncovering opportunities to enhance the global competitiveness of countries in the region. Promoting increased regional cooperation in the management of shared natural resources (SO-690-12) requires broad political and technical commitment to the vision of shared resource management. Finally, in the area of agricultural development (SO-690-13), the strategic challenge is the transformation of subsistence agriculture to a commercial economy for increased incomes and food security.

PROGRAM PERFORMANCE

RCSA SO 690-001: Increased Regional Capacity to Influence Democratic Performance

This strategic objective (SO) addresses obstacles to democratic progress on a regional basis. Institutions of democracy such as parliaments, the judiciary and civil society are fragile and prone to manipulation by dominant executive branches of government. The region is experiencing a renewed onslaught on media freedom with several countries enacting legislation that sharply curtails freedom of expression. The Government of Zimbabwe responded to increasing demands for accountability with severe repression of citizen participation in political and economic decision-making, triggering a meltdown that could threaten the region's integration agenda. Transparency International's annual Corruption Perception Index provides evidence that unacceptably high levels of public sector corruption continue to undermine perceptions of the region as an attractive investor destination.

The SO is responding to these challenges by developing regional norms and standards for democratic governance in three inter-related areas: (a) elections and political processes; (b) anti-corruption; and (c) media freedom. The SO achieved significant results in two of these areas during FY 2001: (a) the Southern African Development Community (SADC) Parliamentary Forum adopted regional electoral norms and standards in April 2001 and is using them to monitor electoral processes and train election observers; and (b) the SADC Heads of State signed an Anti-Corruption Protocol that obligates their countries to prevent and combat corruption. These results contribute directly to the Agency objectives of encouraging credible and competitive political processes and more transparent and accountable government institutions.

This SO met its planned targets for FY 2001. The Media Institute for Southern Africa (MISA) continues to play a leading role in advocacy campaigns for improved media freedom throughout the region and has achieved notable success, including the addition of a Broadcast Charter to the 1991 Windhoek Declaration on Media Freedom. The achievements of the SADC Parliamentary Forum (SADC/PF), the Southern Africa Human Rights Trust (SAHRIT) and MISA are evidence of increased regional capacity to influence democratic performance. A 2001 survey of democracy and governance practitioners gave MISA, SADC/PF, SAHRIT, the Southern Africa Media Development Fund and the Southern Africa Research and Documentation Center an overall rating of 2.4 on a three-point scale of organizational effectiveness.

Significant Results:

Regional Electoral Norms and Standards: The SADC/PF adopted regional electoral norms and standards in April 2001 and is using them to train observer delegations and monitor electoral processes. The SO contributed significantly to this result by (a) enlisting the National Democratic Institute for International Affairs to strengthen the capacity of the SADC/PF to monitor elections and (b) providing funding to enable the SADC/PF to observe general and presidential elections in six countries to develop appropriate norms and standards for the region. The standards have a direct impact on democratic performance by encouraging free and fair elections, benefiting many Southern Africans whose leaders will have been popularly and fairly elected. The standards also contribute to political stability by increasing the legitimacy of election results.

Democracy advocates at national levels are using the standards to demand improved electoral conduct. In the run-up to the Zambian elections, the SADC/PF convinced the Zambian Electoral Supervisory Commission to extend the voter registration period, thus allowing more voters to register. The European Union (EU), the Commonwealth, the International Crisis Group, the British Parliament, the U.S. government and civil society groups in Zimbabwe have commended the Southern African parliamentarians for adopting the election norms and standards and are urging Zimbabwe to adhere to them in the upcoming presidential election. The recent decision by the EU to fund the SADC/PF's observer mission to Zimbabwe is further testament to the SADC/PF's increasing capacity to influence and promote good democratic performance in the region.

On October 31, 2001, Mrs. Priscilla Misihairabwi, an opposition member in the Zimbabwean parliament who was a member of the SADC/PF election observation mission to Tanzania, moved that Zimbabwe use the electoral standards to conduct its upcoming presidential election. Introducing the motion she said, "I am proud that I am standing here talking about SADC Parliamentary norms and standards. These are not EU standards. These are purely African norms and standards that have been developed and designed by Africans themselves. These are not values that we are taking from elsewhere, it is the value system that we have as Africans". The motion received bi-partisan support in the Zimbabwe parliament.

SADC Anti-Corruption Protocol: The SADC Heads of State signed an Anti-Corruption Protocol that obligates their countries to prevent and combat corruption. In 1998, they refused to sign an earlier version of the Protocol, alleging that the protocol development process had been foreign-driven. To address this concern, the RCSA provided grant assistance to SAHRIT to draft a new protocol. During the consultative process, SAHRIT facilitated the formation of the Southern Africa Media Network Against Corruption to mobilize the media to expose corruption and support ratification of the Protocol. The Heads of State signed the SADC Anti-Corruption Protocol in August 2001. This Protocol is of major significance because it obliges courts to order the release of bank, financial or commercial records related to corrupt activities. The Protocol also provides for extradition arrangements to facilitate investigation and prosecution of corruption. The Southern African Forum Against Corruption, a network of anti-corruption agencies that emerged during the protocol consultative process, will monitor implementation.

Other Achievements:

MISA continues to play an important role in promoting media pluralism in the region. On-going activities are strengthening eleven national chapters that play a watchdog and advocacy role aimed at improving media freedom. The Zimbabwe chapter led a campaign by journalists to oppose legislation that would severely restrict media freedom and access to information in Zimbabwe. The Botswana chapter was instrumental in changing the national broadcast law to a more open and transparent statute, and the Tanzania chapter successfully lobbied for a more liberal media bill. MISA continues to provide valuable legal assistance to media institutions and journalists. For example, in a case funded by the MISA Legal Defense Fund, the Swaziland High Court ruled in August 2001 that the banning of two newspapers was unlawful. The ruling sent a positive message regarding media freedom. With support from this SO, MISA sponsored the "Windhoek plus ten" conference, whose participants reviewed the 1991 Windhoek

Declaration on Media Freedom and added a Broadcast Charter that establishes regional standards to enhance the independence of public broadcasters and communication regulators.

In May 2001, the SO team and USAID/Angola met with the SADC/PF Secretary General to discuss the limited participation of Portuguese-speaking Angola in the regional parliamentary body. In June, a staff member of the Angolan Parliament was seconded to the SADC/PF Secretariat as a translator/interpreter, greatly improving the participation of Angola and Mozambique.

Challenges:

The SADC Legal Sector and SAHRIT partnered effectively to ensure the drafting and signing of the SADC Anti-Corruption Protocol and will now intensify their collaboration to achieve ratification. As part of SADC's restructuring process, the Legal Sector will be folded into the Directorate of Social and Human Development and Special Programmes by December 2002, potentially resulting in some loss of momentum around ratification as SAHRIT develops new relationships with Directorate staff.

Inadequate funds limit the scope and effectiveness of the SO program, but the RCSA is addressing this by co-funding activities with other SOs. Recognizing the impact of corruption on the region's market integration and global competitiveness agenda, the RCSA is developing a cross-cutting anti-corruption activity and exploring opportunities for collaboration with the International Law Enforcement Agency to promote anti-corruption in regional banking practices.

RCSA SO 690-002: A More Integrated Regional Market

This SO contributes to regional market integration by: (a) reducing barriers to cross-border trade and investment; (b) developing an efficient transport and communications infrastructure to move goods, people, services and information across the region; and (c) building the capacity of private sector associations to advocate for policy reforms. Although the SO can point to some notable achievements, overall the SO did not meet planned targets. The SO met targets for the two indicators shown in the table below, but these indicators reflect overall growth in sectors that the RCSA supports rather than the direct effects of current SO activities. Nevertheless, the RCSA tracks this data and expects significant increases over time as tariffs fall and non-tariff barriers to trade are removed. RCSA support to the telecommunications sector since 1995 helped change the incentive structure to attract investments by private cellular providers. Increases in teledensity capture the effects of these investments but a better indicator is needed for current telecommunications activities. The SO was unable to obtain data for other important indicators such as transport costs along selected transportation corridors and rail wagon turnaround time. With respect to the latter, the installation of the Rolling Stock Information System is significantly behind schedule.

Notwithstanding the limited success against targets, the SO can point to many achievements. The RCSA successfully integrated Africa Growth and Opportunity Act (AGOA) activities into its trade portfolio to increase the region's access to AGOA benefits. In the infrastructure area, RCSA support led to the launch of a short-term electricity market; the development of telecommunications regulatory guidelines; agreement among countries along the Trans-Kalahari Transportation Corridor to simplify and harmonize customs laws, regulations and procedures; effective advocacy by the Federation of East and Southern African Road Transport Associations; and policy reforms in South Africa and Mozambique that have reduced border transit times.

Market Expansion Indicators

Indicator	Year CY	Targeted Value	Actual Value
Value of Intra-SADC Trade (SADC exports)	1999	US\$ 9,279 million	US\$ 9,375 million proxy
	2000	US\$ 9,465 million	US\$ 9,530 million
Telecommunication Service Provision	2000	4.75 (teledensity)	4.90 (teledensity)
	2001	5.22 (teledensity)	5.25 (teledensity)

Achievements:

Increased Access to AGOA Benefits: The RCSA increased access to AGOA benefits by providing specialized technical assistance to customs and trade officials, the SADC Secretariat, private sector associations and exporters in the region. Our AGOA experts conducted regional training workshops for customs officials and private sector groups, increasing their awareness of concrete opportunities under AGOA. We brought SADC customs officials to major international meetings and workshops sponsored by the U.S. Trade Representative and U.S. Customs, enhancing their understanding of AGOA provisions. Our experts assisted U.S. Embassies in Botswana, Malawi and Namibia to advise government officials and national AGOA working groups on visa certification requirements, facilitating the approval of their apparel visa systems. In Malawi, we helped the local textile industry overcome specific procedural obstacles to exporting under AGOA, resulting in increased exports to the U.S. Our AGOA experts linked exporters in Botswana, Lesotho, Namibia and Swaziland with sector associations and relevant government agencies in the U.S., helping them to identify specific markets for their products. A Comparative Advantage Study identified specific industries in the region that could successfully export to the U.S. By participating in SADC textile sector meetings and preparing papers on how the sector can take advantage of AGOA, our technical advisors have persuaded some vocal protectionist elements in the region that global competitiveness is the key to accessing markets in the U.S. and Europe. Recognizing the synergies between AGOA and the SADC Free Trade Area (FTA), the SADC Secretariat requested the RCSA to develop a comprehensive AGOA activity to increase access to U.S. markets and promote global competitiveness.

Reduced Barriers to Trade and Investment:

Over the past three years, the RCSA has provided technical and policy advice to the SADC Secretariat and member states on issues related to the SADC Free FTA, which was launched in September 2000. Under the FTA agreement, SADC countries will gradually phase out tariffs over the next few years. The FTA was operational by August 2001 and anecdotal evidence suggests that new categories of cotton, textiles, apparel, foodstuffs, chemical products, and plastics are trading under the FTA rules of origin. In the twelve months ending September 1, 2001, new trade between Mauritius and South Africa under the SADC FTA exceeded \$1 million, but other data on intra-SADC trade under the FTA are not yet available. An

Increased trade in the apparel and textiles sector resulted from a series of RCSA-funded meetings on outstanding issues in the SADC Trade Protocol. Our experts gathered data at the firm level to demonstrate that restrictive rules of origin were harming rather than protecting the sector. The identification of clear options, backed by sound analysis, broke a prolonged negotiating impasse. In August 2001, the SADC Trade Ministers formally agreed to special market access arrangements for apparel and textiles that will allow the least developed countries of SADC duty-free access to other SADC countries, including South Africa, the largest market. Malawi is now exporting textiles to South Africa under this agreement.

RCSA-funded SADC Trade Advisor advises SADC on critical trade policy issues, including global competitiveness, compliance with World Trade Organization obligations, and AGOA. His efforts are enabling the SADC Secretariat to promote a more outward-oriented approach to market integration.

Although Customs officials are responsible for on-the-ground implementation of the provisions of the SADC Trade Protocol, their role during the protocol negotiations was marginal. In January 2001, the RCSA provided critical logistical and technical support to help a newly formed regional Heads of Customs Forum develop a detailed FTA implementation plan with specific milestones. With intensive technical assistance from our customs and trade facilitation experts, the Heads of Customs developed and approved regional transit procedures, rules of origin procedures, a single administrative document for customs and transit, and guidelines for regional customs cooperation -- important milestones without which trade under the FTA cannot occur.

Improved Efficiency of Infrastructure: The RCSA provided technical assistance to the Southern African Power Pool to design an electronic trading system. The region's new short-term electricity market (STEM) began operations in April 2001, and volumes traded rose steadily at an average rate of 29% per month from May through December. STEM allows more frequent and flexible trading of smaller volumes of surplus energy at lower, market-determined prices. During the first six months of operations, the four power utilities (Namibia, South Africa, Zimbabwe and Botswana) trading through STEM saved \$800,000.

The RCSA is strengthening the region's capacity to regulate the telecommunications industry within a market-oriented policy environment. The Telecommunications Regulators Association of Southern Africa, with RCSA assistance, developed regional regulatory guidelines on universal service and licensing, which have been approved by SADC. These guidelines, by harmonizing national practices, will help establish a uniformly competitive regional telecommunications market.

The RCSA provided intensive technical assistance to the Trans-Kalahari Corridor Management Committee to simplify and harmonize customs laws, regulations and procedures in Botswana, Namibia and South Africa. RCSA support to the Federation of East and Southern African Road Transport Associations strengthened the organization's regional advocacy role, enabling it to defeat the unilateral imposition of a harmful customs bond by Zambia Customs. RCSA assistance to the South African Revenue Service and Mozambique Customs resulted in policy changes that allow customs officials from these countries to process cargo jointly, reducing transit times by eliminating the need for double inspections.

Managing for Results: As a result of an intensive portfolio review in October - November 2001, the RCSA recognized that the SO results framework, Performance Management Plan and portfolio of activities were out of alignment. The SO has streamlined the portfolio and is developing more appropriate indicators that will enable the SO to manage for results more effectively. For example, the SO will develop an indicator to track trade occurring under the SADC FTA rules of origin, and an indicator to track the impact of our AGOA interventions.

RCSA SO 690-012: Increased Regional Cooperation in the Management of Shared Natural Resources

This SO is focused on improving the management of shared natural resources and wildlife through the establishment of transboundary natural resource management areas ("transboundary areas") where two or more countries share the same natural resources and wildlife. When complete, an estimated 35 million hectares will be jointly managed for the sustained economic benefit of the more than three million residents of the targeted transboundary areas who depend on subsistence agriculture, fishing and eco-based tourism for their livelihoods.

Overall, this SO did not meet planned targets. Only four countries have ratified the SADC Wildlife Protocol, still short of the nine countries that were targeted to ratify it. The SO met most targets related to the adoption of viable practices for sustainable management of shared natural resources in the Great Limpopo and Four Corners transboundary areas but not in the Limpopo River Basin. In the area of SADC capacity building, the SO has met most targets, but ecological monitoring systems for decision-making are in early stages of development, not yet meeting targets. Notwithstanding the limited success against targets, the SO can point to significant progress during FY 2001.

Achievements:

Policies, Protocols and Agreements:

Mozambique, South Africa and Zimbabwe signed a declaration of intent to establish the Great Limpopo transboundary area and reached consensus on a draft treaty. The RCSA assisted in drafting the Great

Limpopo Transfrontier Area Management Plan, which the Heads of State of the three countries are expected to formally adopt in April 2002. The SO strengthened the International Technical Coordinating Committee, which now functions as the joint management body for the Great Limpopo transboundary area, and we support a tri-national committee to ensure that community needs are incorporated into the management plan.

Unlike the Great Limpopo transboundary area, which was promoted at the governmental level, the Four Corners transboundary area is a community and private sector initiative that builds on previous USAID-funded activities in Botswana, Namibia, Zambia and Zimbabwe. Obtaining government buy-in to the concept has been difficult. The SO addressed this constraint by mobilizing governments and demonstrating the potential benefits of transboundary natural resource management to governments, communities and business interests. As a result, Zambia and Zimbabwe signed memoranda of understanding supporting the Four Corners transboundary area and Namibia has agreed to the concept in principle.

The RCSA-funded Networking and Capacity Building Initiative for Southern Africa, managed by the International Conservation Union's Regional Office for Southern Africa, assisted Mozambique and Zimbabwe to formulate national policy guidelines for managing shared natural resources. This cooperation resulted in a unique community-based model of collaborative transboundary natural resource management in ZIMOZA, a new transboundary area involving Mozambique, Zambia and Zimbabwe. The Ministers of Environment from the three countries reached consensus on a declaration of intent to establish the transboundary area.

Viable Practices for Sustained Management of Shared Natural Resources: The African Wildlife Foundation (AWF), a USAID grantee, provides business development services to five community-based conservation business partnerships in the Four Corners area. The AWF is collaborating with the Regional Tourism Organization of Southern Africa to include potentially viable community tourism initiatives in a regional tourism marketing strategy. Communities in the Four Corners area are conducting a wildlife census in preparation for the upcoming hunting season, and the government of Namibia has officially endorsed community-level wildlife monitoring. A partnership between the Mahenye community, the Zimbabwe Sun Hotel and the government of Zimbabwe is operational in the Great Limpopo. Community-based natural resource management programs managed by bilateral USAID missions have yielded successful resource-based enterprises at the community level that the SO is using as models for the Four Corners initiative. Two missions (Zimbabwe and Namibia) that are phasing out their programs have approached the RCSA to integrate some of their activities into the regional program. The RCSA is also collaborating with missions in Mozambique, South Africa and Zimbabwe in the implementation of the Great Limpopo and Four Corners activities.

Capacity Building: The AWF trained twelve facilitators from the Four Corners area in the use of the Heartlands Conservation Planning methodology, and the facilitators in turn trained sixty-four practitioners who used this methodology to identify four cross-border conservation areas that require specific attention to ensure ecosystem integrity. The University of Botswana is collaborating with eight other Universities in the region to train fifty-four academic and field staff in Geographic Information Systems (GIS) applications. These trainees will provide ecological monitoring services to the region.

Ecological Monitoring Systems for Decision Making: Effective management of natural resources requires accurate and timely monitoring. SADC is promoting GIS technology for use in a regional environmental monitoring program, the major component of which will be a regional environmental database managed by SADC. The Education, Democracy and Development Initiative supports a partnership between the University of Botswana and seven universities in the United States. The activity is building the capacity of the Harry Oppenheimer Okavango Research Center to conduct wetlands research and provide data to researchers and planners in the region. The Center is now providing GIS data on the Okavango Delta to the Four Corners initiative.

RCSA SO 690-013: Expanded Commercial Markets for Agricultural Technologies and Commodities in the SADC

Overall, this SO did not meet planned targets. Although the SO achieved a significant result during FY 2001, it did not meet targets in some important areas. The SO succeeded in commercializing the production and distribution of a vaccine to control heartwater disease in cattle, potentially saving the region's livestock industry \$40-45 million annually. The adoption of improved seed varieties, developed with RCSA assistance, has enabled over one million smallholder farmers to increase their production of sorghum and millet. Growing industrial demand for improved varieties of cassava, sorghum and millet is increasing farmer incomes and promoting food security by providing more reliable markets for their products. The SO is unlikely to succeed in enacting legislative targets by the end of the current strategy period. Targets for increased private sector participation in improved agricultural technology delivery systems and developing new sustainable agricultural technologies and practices were not met during FY 2001, although the region continues to benefit from previous investments in agricultural technology.

Significant Results:

Commercialization of the heartwater vaccine: The SO successfully moved the heartwater vaccine and tick control technologies to the commercial production and marketing stage, potentially saving the livestock industry \$40-45 million annually. The vaccine is the first commercialized biotechnology research product developed in Southern Africa with USAID assistance. Through a grant to the University of Florida, the RCSA invested in the development of technologies to control ticks and heartwater disease in cattle. In August 2001, after completing required field tests, the University of Florida concluded an agreement with Intervet International, a veterinary pharmaceutical company, to commercialize the production and delivery of the heartwater vaccine and tick decoy technologies. The vaccine will potentially save the region's livestock industry \$40-45 million annually and could also be applied in the U.S., where the recent appearance of African ticks poses a real threat to U.S. livestock and deer populations.

Other Achievements:

Adoption of improved crop technologies: Farmer adoption of improved seed technologies has increased following the release of over forty varieties of sorghum and millet and twenty varieties of cassava developed by national programs during earlier phases of the Sorghum and Millet Improvement Project (SMIP) and the Southern Africa Root Crops Research Network (SARRNET). The latest adoption figures for use of improved varieties of sorghum and pearl millet in the three target countries (Mozambique, Tanzania and Zimbabwe) indicate that 879,800 farmers are now growing improved varieties. Nearly 50% of pearl millet producers in Namibia and 36% of sorghum growers in Zambia have adopted improved varieties. The SMIP project estimates that over 1 million smallholder farmers in the SADC region are now growing improved varieties of sorghum and pearl millet, which give higher yields, are more drought resistant, and contribute directly to household food security. Assuming an average household size of 5-6 persons, approximately 5-6 million people are now benefiting directly from USAID-funded investments in improved sorghum and millet technologies.

Growing industrial demand for sorghum, millet and cassava: USAID efforts to expand commercial markets for improved seed varieties through SMIP in Tanzania and SARRNET in Malawi have increased industrial demand for sorghum, millet and cassava. The total quantity of sorghum and pearl millet used by processing industries in the region increased by about 18% between 2000 and 2001, due to SMIP advocacy and

Processing of cassava flour in Malawi is increasing farmer incomes and lowering consumer prices for commercially produced flour. Due to increased demand, the price of dried cassava chips has increased from 3.5 Malawian Kwacha (MK) per kg to 8.5 MK per kg. Industrial processors are now selling the cassava flour at 15.0 MK per kg compared with 20.0 MK per kg for flour produced by traditional methods. A plywood manufacturing company is saving \$13,500 per annum by using cassava-based glue instead of glue made from imported wheat. Another company in Malawi is investigating a cassava starch processing plant. Bakers and brewers are also experimenting with using cassava in their products.

technical assistance to sorghum milling industries and breweries, which convinced the latter to increase the proportion of sorghum used in producing beer. In Tanzania, sales of sorghum meal more than doubled in the past year. Industrial utilization of cassava is also increasing, providing a more reliable market for this important food security crop. Over twenty industries in five SADC countries are now processing and/or utilizing cassava flour. The total amount of cassava bought by twelve industries monitored by the RCSA increased from 7,845 metric tons in 2000 to 9,545 metric tons in 2001, exceeding the target by 23%. Growing industrial demand for these dryland crops is increasing farmer incomes and promoting food security by providing more reliable markets for producers.

Meeting international standards for food safety and quality is a prerequisite for the expansion of regional and international trade in agricultural commodities and processed products. Working with SADC and the World Bank, RCSA completed inventories of sanitary and phytosanitary measures in eleven countries, exceeding a target set last year. The next step is to incorporate food safety and quality standards in the SADC Trade Protocol. This will lead to compliance with World Trade Organization commodity standards and increased trade on world markets.

RCSA SO 690-011: Broadened US–SADC Cooperation

The US-SADC Forum was created to promote the shared interests of the U.S. and the SADC member states. The Forum brings together senior U.S. government officials and high-ranking officials of SADC to explore political, economic, social and transnational issues of strategic significance to the U.S. and the member states of SADC. The first US-SADC Forum was held in Gaborone in April 1999 and the second took place in Maputo in May 2000. Stemming from the Forum are deliverables and activities that will enhance the welfare of the people of Southern Africa.

The RCSA plays a critical support role to the U.S. Embassy in Gaborone in ensuring implementation and follow-up on these activities. Some of them, such as the provision of a Senior Trade Policy Advisor to the SADC Secretariat and the development of a regional environmental database, are discussed in SO narratives. In other cases, the RCSA coordinates with U.S. government agencies that have primary implementing responsibility for activities. Progress in two key areas is described below.

Achievements:

Intellectual Property Rights: The RCSA supported the Commercial Law Development Program of the U.S. Department of Commerce in providing regional training on intellectual property rights (IPR). Because the region suffers from inadequate IPR knowledge and poor coordination of IPR approaches, very few SADC member states have undertaken the IPR reforms that are required to fully implement and comply with Trade Related Aspects of Intellectual Property Rights (TRIPS). One result has been inadequate IPR protection and enforcement for both foreign and local companies operating within SADC. To address these challenges, IPR experts advised TRIPS teams in each SADC member state on a variety of technical IPR issues related to the drafting of laws and amendments to existing laws to make them compatible with TRIPS and the World Intellectual Property Rights Organization (WIPO) "Internet Treaties." This resulted in: (a) heightened awareness of IPR responsibilities among SADC member countries; (b) recognition by member states that TRIPS and the ratification of the WIPO "Internet Treaties" are major priorities; (c) increased capacity within SADC to achieve tangible compliance with IPR protection obligations; and (d) draft amendments to existing IPR legislation and new IPR legislation (most of which are still pending finalization and/or enactment).

Disaster Management Preparedness: After the flooding in Mozambique, Madagascar and Botswana in early 2000, the U.S. Congress appropriated funding to strengthen the capacity of the region to prepare for and respond to such natural disasters. The RCSA, in collaboration with the U.S. Embassy in Gaborone and the SADC Disaster Coordinating Unit, carried out activities with Regional Disaster Managers to

establish a disaster preparedness and management mechanism. A multisectoral regional Disaster Management Strategy was approved by the SADC Heads of State in August 2001. With RCSA support, SADC has developed draft Regional Disaster Management Operational Procedures that will be utilized to coordinate and mobilize responses in the region when a disaster occurs.

PART IV: PERFORMANCE DATA TABLES AND RESULTS FRAMEWORKS

Performance Data Tables

See attached Excel Tables

Updated Results Framework:

RCSA SO 690-001: Increased Regional Capacity to Influence Democratic Performance

- IR1 Increased information sharing within the region
- IR2 Increased advocacy and other cooperation bringing regional experience to bear at national level
- IR3 Regional norms further defined by Southern Africans

RCSA SO 690-002: A More Integrated Regional Market

- IR1 Reduced barriers to broadened participation in the regional market
- IR2 More efficient provision of infrastructure
 - IR2.1 RCSA-sponsored operational infrastructure improvements used
 - IR2.2 Private participation in service provision increased
 - IR2.3 Regional policies adopted and regulatory frameworks and operational standards harmonized
- IR3 Advocacy for sustained regional integration strengthened

RCSA SO 690-012: Increased Regional Cooperation in the Management of Shared Natural Resources

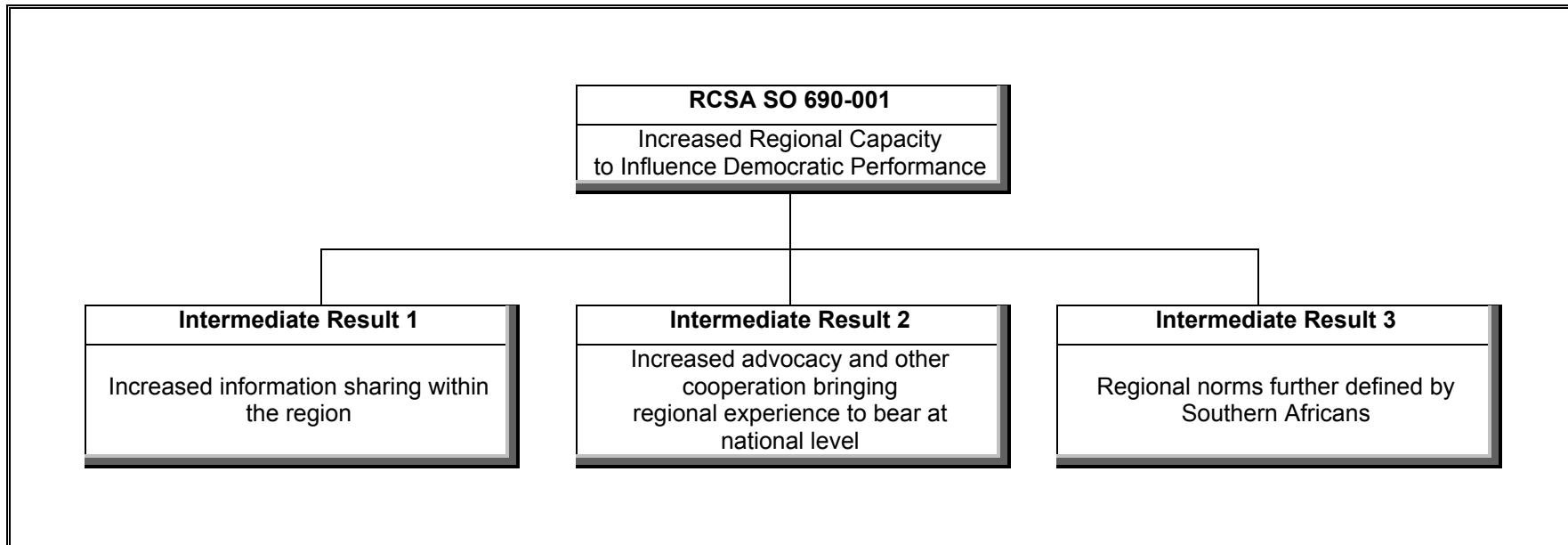
- IR1 Viable practices for sustainable management of shared natural resources adopted
- IR2 Policies, protocols and agreements enacted
- IR3 Organizations and institutions capable of effective regional intervention
- IR4 Ecological monitoring systems for decision making improved

RCSA SO 690-013: Expanded Commercial Markets for Agricultural Technologies and Commodities in the SADC Region

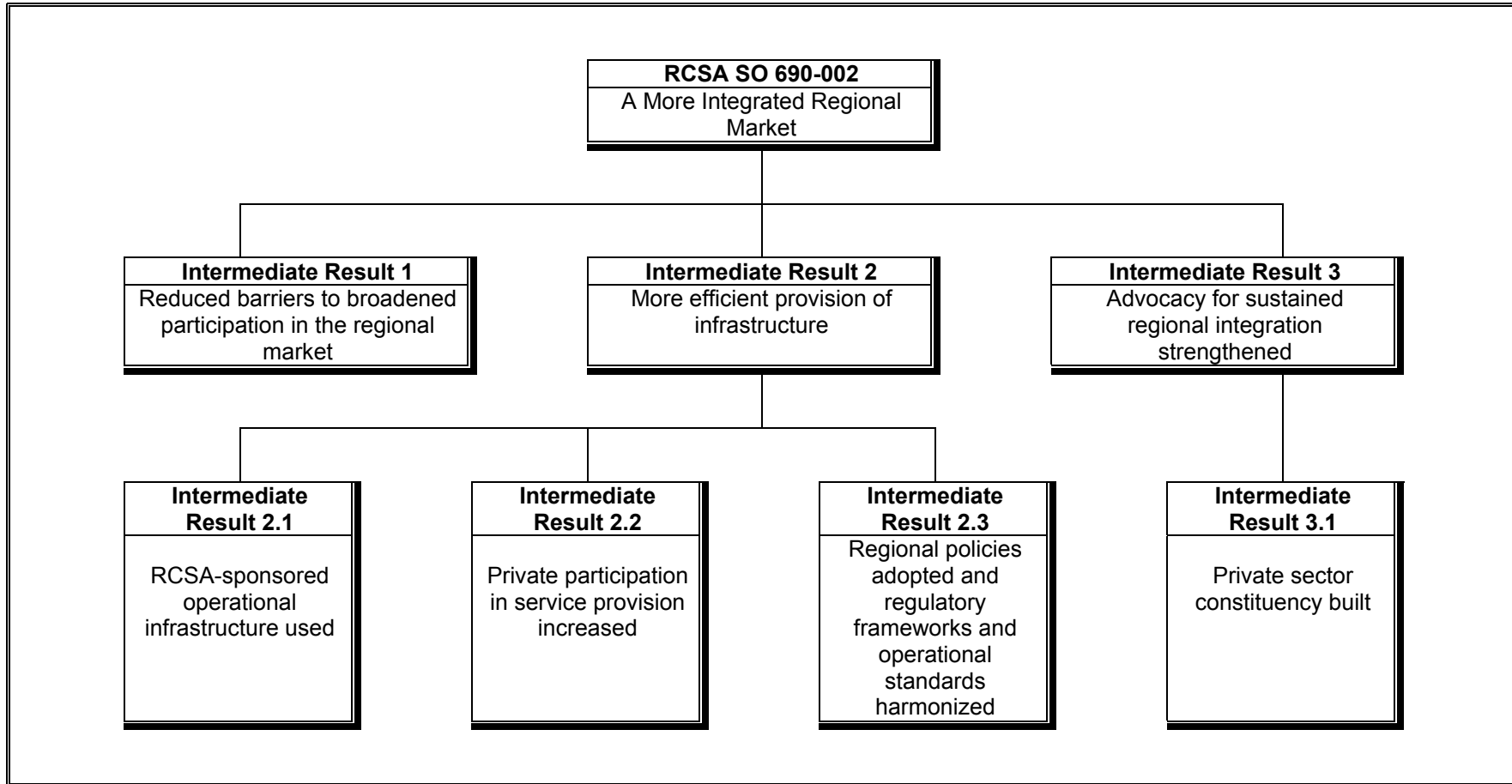
- IR1 Policies, laws and regulations that increase trade of agricultural technologies and commodities enacted
- IR2 Adoption of sustainable agricultural technologies and practices increased
- IR3 Private sector participation in delivery systems for existing agricultural technologies and practices increased
- IR4 New sustainable agricultural technologies and practices developed

Special Objective - RCSA SpO 690-011: Broadened US–SADC Cooperation

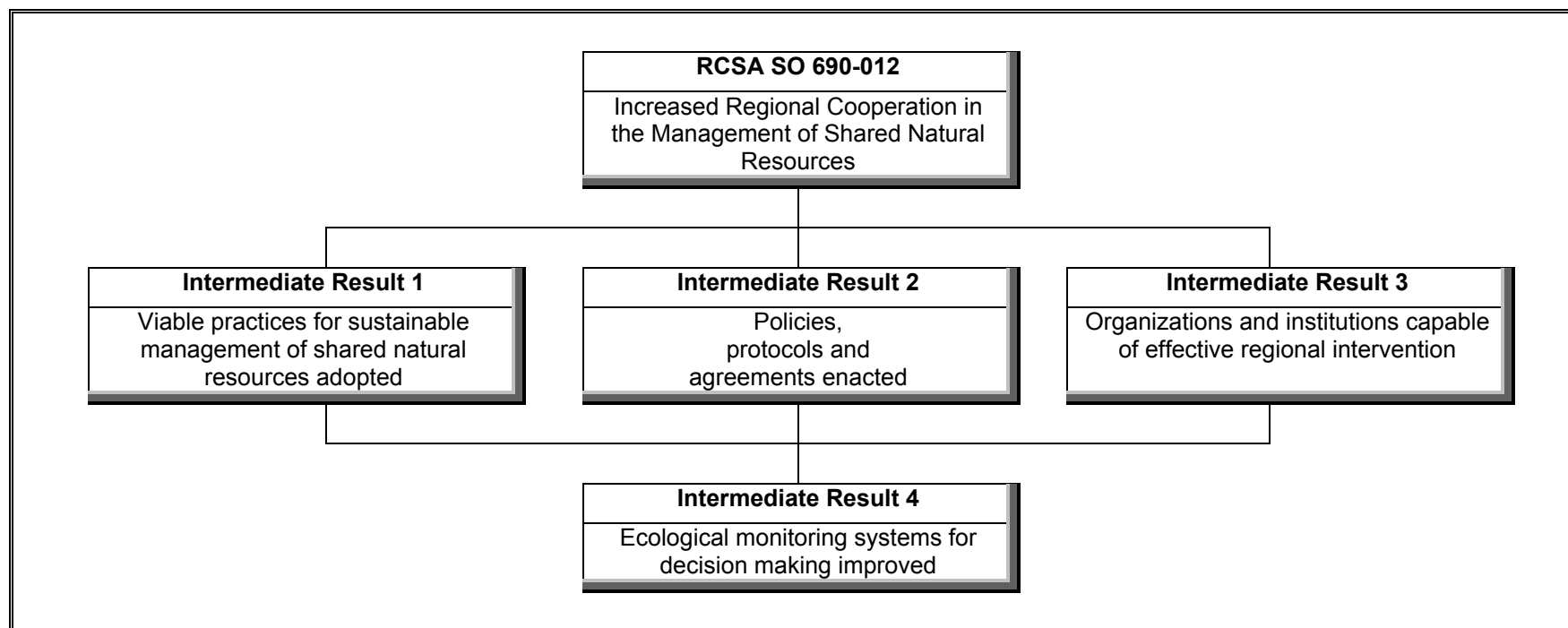
Strategic Objective 690-001
Increased Regional Capacity to Influence Democratic Performance



Strategic Objective 690-002
A More Integrated Regional Market



Strategic Objective 690-012
Increased Regional Cooperation in the Management of Shared Natural Resources



Strategic Objective 690-013
Expanded Commercial Markets for Agricultural Technologies

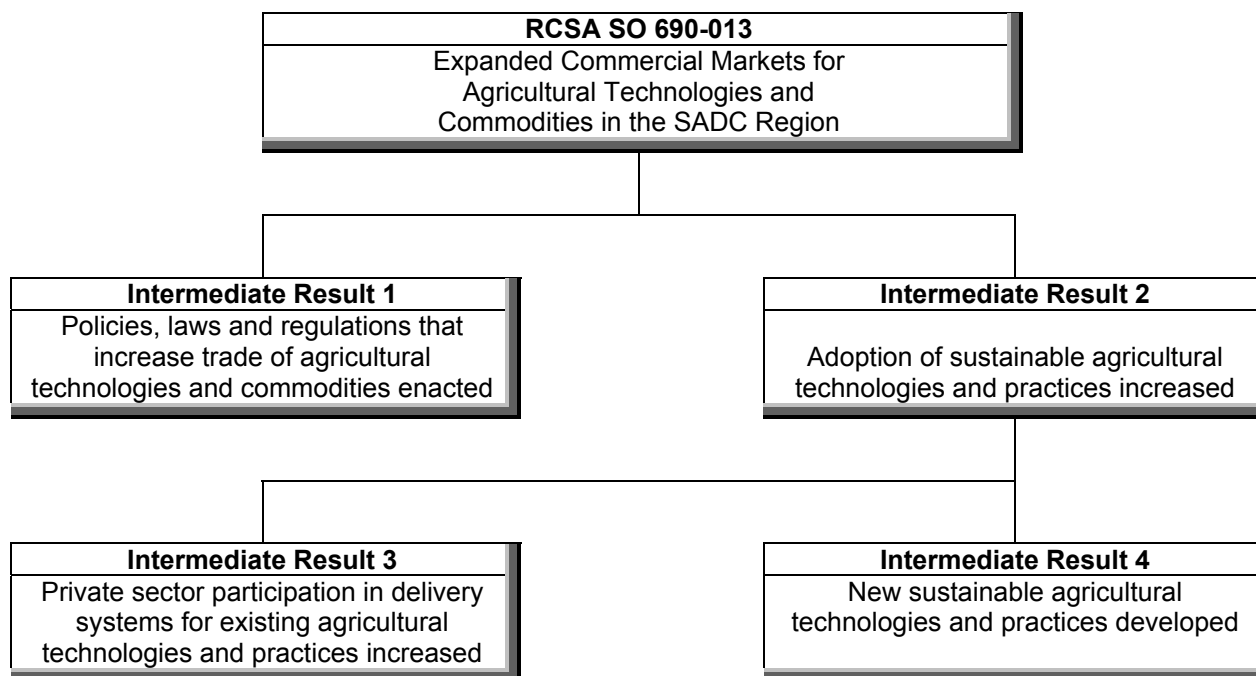


Table 1: Annual Report Selected Performance Measures

Indicator (all data should pertain to FY or CY 01)		OU Response		Fund Account	Data Quality Factors	
Pillar I: Global Development Alliance: GDA serves as a catalyst to mobilize the ideas, efforts, and resources of the public sector, corporate America and non-governmental organizations in support of shared objectives						
1	Did your operating unit achieve a significant result working in alliance with the public sector or NGOs?	Yes	No X	N/A		
2	a. How many alliances did you implement in 2001? (list partners)					
	b. How many alliances do you plan to implement in FY 2002?	One, with Intervet International through a USAID/EGAT activity, to commercialize the production of the heartwater vaccine for livestock.		DA		
3	What amount of funds has been leveraged by the alliances in relationship to USAID's contribution?					
Pillar II: Economic Growth, Agriculture and Trade: USAID works to improve country economic performance using five approaches: (1) liberalizing markets, (2) improving agriculture, (3) supporting microenterprise, (4) ensuring primary education, and (5) protecting the environment and improving energy efficiency.						
4	If you have a Strategic Objective or Objectives linked to the EGAT pillar, did it/they exceed, meet, or not meet its/their targets?	Exceed	Met	Not Met 690-	DA	Report on CY basis. Regional impact.
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USAID Objective 1: Critical, private markets expanded and strengthened						
5	Did your program achieve a significant result in the past year that is likely to contribute to this objective?	Yes 690-013	No	N/A		
The SO moved the heartwater vaccine and tick control technologies to the commercial production and marketing stage, potentially saving the livestock industry \$40-45 million annually. The vaccine is the first commercialized biotechnology research product developed in Southern Africa with USAID assistance.						

Indicator (all data should pertain to FY or CY 01)	OU Response			Fund Account	Data Quality Factors	
USAID Objective 2: More rapid and enhanced agricultural development and food security encouraged						
6 Did your program achieve a significant result in the past year that is likely to contribute to this objective?	Yes	No X	N/A			
USAID Objective 3: Access to economic opportunity for the rural and urban poor expanded and made more equitable						
7 Did your program achieve a significant result in the past year that is likely to contribute to this objective?	Yes	No X	N/A			
USAID Objective 4: Access to quality basic education for under-served populations, especially for girls and women, expanded						
8 Did your program achieve a significant result in the past year that is likely to contribute to this objective?	Yes	No X	N/A X			
9 a. Number of children enrolled in primary schools affected by USAID basic education programs (2001 actual) b. Number of children enrolled in primary schools affected by USAID basic education programs (2002 target)	Male	Female	Total			
USAID Objective 5: World's environment protected						
10 Did your program achieve a significant result in the past year that is likely to contribute to this objective?	Yes	No X	N/A			
11 a. Hectares under Approved Management Plans (2001 actual) b. Hectares under Approved Management Plans (2002 target)						

Indicator (all data should pertain to FY or CY 01)	OU Response			Fund Account	Data Quality Factors
Pillar III: Global Health: USAID works to: (1) stabilize population, (2) improve child health, (3) improve maternal health, (4) address the HIV/AIDS epidemic, and (5) reduce the threat of other infectious diseases.					
12 If you have a Strategic Objective or Objectives linked to the Global Health pillar, did it/they exceed, meet, or not meet its/their targets?	Exceed	Met	Not Met		
USAID Objective 1: Reducing the number of unintended pregnancies					
13 Did your program achieve a significant result in the past year that is likely to contribute to this objective?	Yes	No	N/A X		
USAID Objective 2: Reducing infant and child mortality					
14 Did your program achieve a significant result in the past year that is likely to contribute to this objective?	Yes	No	N/A X		
USAID Objective 3: Reducing deaths and adverse health outcomes to women as a result of pregnancy and childbirth					
15 Did your program achieve a significant result in the past year that is likely to contribute to this objective?	Yes	No	N/A X		
USAID Objective 4: Reducing the HIV transmission rate and the impact of HIV/AIDS pandemic in developing countries					
16 Did your program achieve a significant result in the past year that is likely to contribute to this objective?	Yes	No	N/A X		
USAID Objective 5: Reducing the threat of infectious diseases of major public health importance					
17 Did your program achieve a significant result in the past year that is likely to contribute to this objective?	Yes	No	N/A X		

Indicator (all data should pertain to FY or CY 01)		OU Response		Fund Account	Data Quality Factors	
Pillar IV: Democracy, Conflict and Humanitarian Assistance						
18	If you have a Strategic Objective or Objectives linked to the Democracy, Conflict and Humanitarian Assistance Pillar, did it/they exceed, meet, or not meet its/their targets?	Exceed	Met 690-001	Not Met	DA	Impact is regional. CY reporting
USAID Objective 1: Rule of law and respect for human rights of women as well as men strengthened						
19	Did your program achieve a significant result in the past year that is likely to contribute to this objective?	Yes	No	N/A X		
USAID Objective 2: Credible and competitive political processes encouraged						
20	Did your program achieve a significant result in the past year that is likely to contribute to this objective?	Yes 690-001	No	N/A	DA	Report on CY basis. Regional impact
The Southern African Development Community Parliamentary Forum adopted regional electoral norms and standards and is using them to monitor electoral processes and train election observers in the region. These standards and norms are significant because they ensure the integrity of the electoral process.						
USAID Objective 3: The development of politically active civil society promoted						
21	Did your program achieve a significant result in the past year that is likely to contribute to this objective?	Yes	No X	N/A		
USAID Objective 4: More transparent and accountable government institutions encouraged						
22	Did your program achieve a significant result in the past year that is likely to contribute to this objective?	Yes 690-001	No	N/A	DA	Report on CY basis. Regional impact
In August 2001, the SADC Heads of State signed an Anti-Corruption Protocol that obligates their countries to prevent and combat corruption.						
USAID Objective 5: Conflict						
23	Did your program in a pre-conflict situation achieve a significant result in the past year that is likely to contribute to this objective?	Yes	No	N/A X		
24	Did your program in a post-conflict situation achieve a significant result in the past year that is likely to contribute to this objective?	Yes	No	N/A X		
25	Number of refugees and internally displaced persons assisted by USAID	Male	Female	Total		

Indicator (all data should pertain to FY or CY 01)	OU Response			Fund Account	Data Quality Factors
USAID Objective 6: Humanitarian assistance following natural or other disasters					
26 Did your program achieve a significant result in the past year that is likely to contribute to this objective?	Yes	No	N/A X		
27 Number of beneficiaries					

Table 2: Selected Performance Measures for Other Reporting Purposes

The information in this table will be used to provide data for standard USAID reporting requirements

Indicator (all data should pertain to FY or CY 01)		OU Response			Fund Account	Data Quality Factors
Child Survival Report						
Global Health Objective 1: Reducing the number of unintended pregnancies						
1	Percentage of in-union women age 15-49 using, or whose partner is using, a modern method of contraception at the time of the survey.					
Global Health Objective 2: Reducing infant and child mortality						
2	Percentage of children age 12 months or less who have received their third dose of DPT (DHS/RHS)	Male	Female	Total		
3	Percentage of children age 6-59 months who had case of diarrhea in the last two weeks and received ORT (DHS/RHS)	Male	Female	Total		
4	Percentage of children age 6-59 months receiving a vitamin A supplement during the last six months (DHS/RHS)	Male	Female	Total		
5	Were there any confirmed cases of wild-strain poli transmission in your country?					
Global Health Objective 3: Reducing deaths and adverse health outcomes to women as a result of pregnancy and childbirth						
6	Percentage of births attended by medically-trained personnel (DHS/RHS)					
Global Health Objective 5: Reducing the threat of infectious diseases of major public health importance						
7	a. Number of insecticide impregnated bed-nets sold (Malaria) (2001 actual) b. Number of insecticide impregnated bed-nets sold (Malaria) (2002 target)					
8	Proportion of districts implementing the DOTS Tuberculosis strategy					

HIV/AIDS Report

Global Health Objective 4: Reducing the HIV transmission rate and the impact of HIV/AIDS pandemic in developing countries

<p>a. Total condom sales (2001 actual)</p> <p>9</p> <p>b. Total condom sales (2002 target)</p>					
<p>a. Number of individuals treated in STI programs (2001 actual)</p> <p>10</p> <p>b. Number of individuals treated in STI programs (2002 target)</p>	Male	Female	Total		
<p>11</p> <p>Is your operating unit supporting an MTCT program?</p>					
<p>a. Number of individuals reached by community and home based care programs (2001 actual)</p> <p>12</p> <p>b. Number of individuals reached by community and home based care programs (2002 target)</p>	Male	Female	Total		
<p>a. Number of orphans and vulnerable children reached (2001 actual)</p> <p>13</p> <p>b. Number of orphans and vulnerable children reached (2002 target)</p>	Male	Female	Total		
<p>a. Number of individuals reached by antiretroviral (ARV) treatment programs (2001 actual)</p> <p>14</p> <p>b. Number of individuals reached by antiretroviral (ARV) treatment programs (2002 target)</p>	Male	Female	Total		

Victims of Torture Report					
Democracy, Conflict, and Humanitarian Assistance Objective 7: Providing support to victims of torture					
15	Did you provide support to torture survivors this year, even as part of a larger effort?				
16	Number of beneficiaries (adults age 15 and over)			Male	Female
			Total		
17	Number of beneficiaries (children under age 15)			Male	Female
			Total		

Global Climate Change			
USAID Objective 5: World's environment protected			
18	Global Climate Change: See GCC Appendix		

PART VI: ENVIRONMENTAL COMPLIANCE

Component 1. Plan for new or amended IEE or EA actions for coming year. Planned Reg 216 actions are listed in FY 02 column in the Table below.

Component 2. Compliance with previously approved IEEs or EAs. All current activities are in compliance with approved IEEs, but documentation is planned for SO 12 with regard to activities in support of TBNRM interventions in FY 2002.

ASSISTANCE ACTIVITIES	FY 2001 AND PREVIOUS YEARS	FY 2002	COMMENTS
SO 690-001: Increased Regional Capacity to Influence Democratic Performance (3 Intermediate Results)			
Increased Information Sharing (IR 1)	Cat Exclusion. In compliance with IEE.	No Reg 216 action planned	The SO and Results areas are all of a Technical Assistance nature and will therefore not have any direct impacts on the environment.
Increased Advocacy (IR 2)	Cat Exclusion. In compliance with IEE.	No Reg 216 action planned	
Regional Norms (IR 3)	Cat Exclusion. In compliance with IEE.	No Reg 216 action planned	
SO 690-002: A More Integrated Regional Market (3 Intermediate Results)			
SO level Cat. Ex. for 3 IRs	Categorical Exclusion issued as the EAD September 16, 1998.	SO definition will not change. No Reg 216 action required.	
Reduce barriers to broadened participation in the regional market (IR 1)	Categorical Exclusion as activities involved elimination of non-tariff barriers to trade and defining rules of origin for products.	No Reg 216 actions planned.	
More Efficient Provision of Infrastructure (IR 2)	Easing of customs bottlenecks to increase flows of goods and services across borders.	No Reg 216 actions planned as activities are focused on policy interventions rather than activities on the ground.	MEO to contact REO for advice on possible link with movement of hazardous substances across borders.
Encouraging the promotion of sustained regional integration (IR 3)	Cat. Exclusion. Actions mainly to do with trade policy dialogue.	No Reg 216 action planned	

SO 690-012: Increased Regional Cooperation in the Management of Shared Natural Resources

ASSISTANCE ACTIVITIES	FY 2001 AND PREVIOUS YEARS	FY 2002	COMMENTS
Viable Practices (IR 1)	IEE being finalized. Negative Determination with conditions in 2000	<p>The Environmental Action Determination from the SO 12 IEE (2000) was a Negative Determination with Conditions. This was because some activities proposed in the Transboundary Natural Resource Management Areas might have environmental implications that need to be evaluated. Eco-tourism enterprises might have impacts depending on the degree to which they include construction activities.</p> <p>Area management authorities might also request for assistance with area management facilities such as visitor information centers. There will be need to monitor these for environmental impacts.</p>	Implementing partners will screen any new activities requiring construction for environmental impacts in line with Africa Bureau Environmental Screening procedures. REO assistance will be sought to train staff in procedures.
Policies and Protocols (IR 2)	Promotion of policy framework for cooperation in managing transboundary natural resources. Negative determination.	No Reg 216 actions.	The policy component of this SO has no predicted negative impacts on the environment.
Institutions capable of regional intervention (IR 3)	Capacity building leading to effective institutions. Negative Determination.	No Reg 216 actions planned.	
Monitoring Systems Developed (IR 4).	Monitoring with no physical activities on the ground. No impact.	No Reg 216 Action planned	
SO 690-013: Expanded Commercial Markets for Agricultural Technologies and Commodities in the SADC Region			
Laws Regulations and Policies (IR 1)	Categorical Exclusion as activities involved elimination of non-tariff barriers to trade and define rules of origin for products	No Reg. 216 actions planned	
Adoption of Improved Technologies (IR 2)	Categorical Exclusion	SO and implementing partners to monitor impacts.	
Private Sector Participation (IR 3)	Categorical Exclusion. Activities involve technical assistance and advocacy.	No Reg. 216 actions planned	
Technology Development (IR 4)	Categorical Exclusion as work is to continue on-going research activities.	SO and partners to monitor research activities for possible impacts.	